DOCUMENT RESUME

ED 060 834 JC 720 078

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TITLE External Funding: Federal and Private.
PUB DATE Jul 71
NOTE 21p.; Speech presented to the Sixth Annual Conference for Community College Presidents held at Charlotte, North Carolina and sponsored by the Univ. of North Carolina, Charlotte, and the State Board of Education, July 25-28, 1971

EDRS PRICE MF-$0.65 HC-$3.29
DESCRIPTORS *Educational Finance; Federal Aid; *Financial Support; Foundation Programs; *Incentive Grants; *Junior Colleges; *Private Financial Support; State Aid

ABSTRACT

This paper, designed as a guideline for administrators, considers the relationships between local community colleges and external funding sources, both governmental and private. Descriptive examples of how to obtain funds from such agencies are given as well as working outlines for preparing the requisite grant applications. To clarify the matter of federal funding, a brief history and description of its role in education is given along with suggestions for forming joint projects with other local governmental bodies to pursue funding outside the normal purview of education; examples of such successful consortia are described. Other sections of the paper focus on: (1) tips on federal and private proposal writing and suggested data to be included in them; (2) detailed descriptive information about private funding sources including a list of appropriate foundations, their general grant proposal requirements, and procedures for establishing liaison with them; and (3) a plan for establishing a local endowment corporation. (AL)

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ED 060834

EXTERNAL FUNDING: FEDERAL AND PRIVATE

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JC 720 078

A Speech Presented To The Presidents of North Carolina
Community Junior Colleges, Sixth Annual Conference
July, 1971

UNIVERSITY OF CALIF.
LOS ANGELES

APR 19 1972

CLEARINGHOUSE FOR
JUNIOR COLLEGE
INFORMATION

This presentation is of especial significance to the theme of this conference--The Community College: Blueprints For The Horizon. There are numerous fiscal and legislative items which particularly relate to the now and future of the community college system and higher education. This paper will not deal with the conceptual and theoretical aspects of higher education; the topic is rather specific--External Funding: Federal and Private.

The purpose of this paper will be to discuss the federal and private areas as each relates to funding. It is not my purpose to debate the pro or con of this type of financial support but to focus upon those aspects of these areas which are going to directly affect post-secondary education in the immediate future. Professional educators, especially the community college and vocational technical institution chief executives, have an obligation to become familiar with the general legislation enacted and pending in the federal and state legislatures which are going to definitely affect the operations of that institution. These two types of financial support can be valuable tools in this time of restricted budgets and limited resources on the local and state levels. It is desired that these remarks will be informative and at their conclusion, questions will be entertained.

Basically, the format of this paper involves two separate areas: federal legislation and agencies and private resources. The first topic will be the legislative and agency aspects of the federal government.

Historically, the federal government has been deeply involved in American education. This involvement can be documented by the following enactments: the ordinances of the post-revolutionary era of our history, the establishment of land grant colleges (Morrill Act of 1862), grants for vocational education (Smith-Hughes Act of 1917). These three major federal entries were milestones in federal aid to education. Established in 1867, the US Office of Education is one of the oldest governmental agencies.

Immediately following WW II, federal involvement in education expanded rapidly. However, it was in the 1960's that the largest advances of all federal aid to education were made. The growth of federal aid in education can be summarized as being from the specific to the general. In the beginning, Congress authorized the government to purchase such things as school lunches; to supply money for the teaching of science, mathematics and foreign languages; and to lend colleges money to build dormitories. In the late 1960's, the federal government launched a general subsidy for education. In 1965, with the passage of both the Elementary and Secondary Education Act and the Higher Education Act, federal aid to education began a massive fiscal involvement. These federal aid programs are considered to be so broad in application as to constitute the first general aid to education programs ever passed by Congress.

In the past five years, the federal government has provided funds to both private and public institutions in the form of research and training grants; scholarships and fellowships; student housing; construction of

facilities; and program development in support of materials, equipment, and supplies. The distribution of this aid has been in areas which can be classified as categorical aid as opposed to broad institutional aid.

Several examples of categorical aid are seen in the various titles of the Higher Education Act of 1965. The categorical aid programs are enumerated as follows:

Title I: Community Service and Continuing Education
Title II: College Library Programs
Title III: Strengthening Developing Institutions
Title IV: Student Assistance
Title V: Education Professions Development Act
Title VI: Instructional Equipment

Basically, the federal government utilizes three methods for distributing funds to education:

(1) direct grants for specific purposes to institutions (project oriented)
(2) direct grants to the states for distribution to institutions (state plans)
(3) direct grants to students

The first method for distribution of federal funds to education is commonly referred to as categorical aid. The second methodology is known as formula grant aid which is dispersed to states based on a population formula. The third method is institutional based but is a direct grant program to students. Three examples are the GI Eill, Social Security, and the War Orphans Act Programs.

It is essential that one become familiar with major legislation and its intent which can serve as a basis for understanding the various types of federal aid that is available to institutions. Some specific legislation which has now been translated into programs are:

(1) Manpower Development and Training Act of 1962
(2) Vocational Education Act of 1963 and its subsequent amendments of 1968
(3) Allied Health Professions Act of 1966
(4) Higher Education Facilities Act of 1963
(5) Economics Opportunity Act of 1964
(6) National Defense Education Amendments of 1964
(7) Nursing Training Act of 1964
(8) Higher Education Act of 1965
(9) Elementary and Secondary Education Act of 1965
(10) Education Profession Development Act of 1968.

These pieces of legislation have provided many fiscal resources for institutions. For Fiscal Year 1971, the Office of Education's administered programs and activities numbered 139. Their administered programs showed 14 major programs in the area of research; 39 major programs dealing with professional training for teachers and student financial aid; 79 major programs dealing with programs and aid to institutions and agencies for administration, instruction, and planning programs; 7 major programs for construction and equipment.

Until recently, community college educators have not become involved in the federal funding process and a great deal of apprehension exists among college presidents and superintendents concerning the involvement in federal programs. The federal government will not solve the problems of financing higher education for the states at this time. However, there are some rather distinctive trends that are emerging in higher education and its financing. The educational establishment--the American Council on Education, the American Association of Land Grant Colleges, the National Education Association, the American Association of Junior Colleges--and the Carnegie Commission for Higher Education have made a case that there is a financial crisis in education, especially in the private sector.

This case is being presented in the political arena by several congressmen. The educational lobbyists are doing a fair job of presenting the facts and figures. However, there remain a great number of skeptics in the Congress.

The impact of federal aid to education in the community college and the vocational technical institution is going to be more significant in the future. In the fall of 1970, for the first time in American history, the majority of all students entering their freshman year in a college entered a community or junior college. Presently, there are over 1100 two-year colleges enrolling more than 2.6 million students. By 1975, the number of institutions is expected to increase to about 1225 with an enrollment of over 5 million students. Junior college enrollment now accounts for approximately 30 percent of all those attending colleges and universities. One often hears the complaint that the community colleges are not getting their fair share of the federal dollar. Unfortunately, that is true. Community colleges have been very timid entering into that relationship with the federal government. However, all the blame does not lie with the community college and vocational technical school administrator. Only until recently has legislation been enacted which would provide eligibility for our participation in some areas. In the past two years, community college participation has increased rapidly. Certain pieces of legislation (Title III--Strengthening Developing Institutions) has specifically earmarked percentage of dollars which must be awarded to community colleges. Every major area of the Office of Education's administered programs is administering some funds to community colleges. There are some agencies who are still reluctant

to involve themselves in junior colleges, but they are re-evaluating this position. Two of these agencies are the National Endowment for the Humanities and the National Science Foundation. However, I expect to see the politicalization of these two agencies and foundations whether rightly or wrongly as an effort to involve them in the community college funding process.

It is important to note that most of the money that is available to higher education does not necessarily flow through the Office of Education and its administered programs. There are several other agencies which are getting into the educational funding business. It would be to your advantage to look to the Department of Labor, the Office of Economic Opportunity, the Model Cities Program of Housing and Urban Development, and the Department of Justice, specifically the Law Enforcement Education Assistance Agency, as funding resources. In fact, a majority of the funds that flow into the educational area emanate from those governmental agencies other than the Office of Education. The community college is more suited to be able to tap the resources of these other agencies than any other vehicle of higher education. The community college and the vocational technical institution is in the business of post secondary education and can package several agency programs which deal with occupational training and college transfer programs. The Department of Labor with its manpower development and training programs, the Department of Justice with its law enforcement education programs, and HUD with its model cities program can very easily be packaged to provide a fiscal resource to your institution. A perfect example of the vehicle for developing this type of financial assistance is through consortia.

It is advisable that the community college enter into a consortia arrangement with city government, county government, state government, a senior institution, or regional agencies and apply for financial assistance to fund a program which can be of mutual benefit to you and the other community agencies. The college can serve as a vehicle for delivery of services for most of the educational resources in these other agencies external to the Office of Education. Over 50% of all the direct grants made by the Office of Education in 1970-71 were made in a consortia type arrangement. In other words, funds were given to those institutions who joined together for mutual benefit. The federal government is seeking a multiplier effect in the utilization of its dollars and have funded accordingly.

Santa Fe Junior College is involved in several of these programs this year. We have an EPDA program which involves five other community colleges scattered throughout the nation. We serve as a program coordinator for four community colleges in Florida under the Title III program. We are receiving equipment funds through the state under Title VI. In working with our regional planning board of the Justice Department and of the local law enforcement agencies, we are able to provide both equipment and personnel for programs in the area of law enforcement. We are involved in manpower development and training programs. These programs represent a tremendous impact of federal resources to our institution.

If you are not involved in these programs, then you could become involved because the money is there for your utilization. North Carolina is rather

fortunate; it has been getting its fair share of federal dollars. In fact, according to a source in the regional office, North Carolina received a good share of the funds last year. But it is not necessarily true that these dollars are being awarded to community colleges and vocational technical schools. For example, there is a program which is administered by the Regional Office of the Office of Education in Atlanta called the Small Research Grant. This program has discretionary and approval authority for small research grants up to $10,000 at the regional level. At this moment, there are over 250 requests for participation in this program for this year. There are only 11 requests from junior colleges in the 8 southern states of which 7 of these emanate from the State of Florida. If you wish additional information concerning this program, you should contact Dr. Kenneth Brunner, Director of Research, in Atlanta for assistance. This illustration emphasizes the fact that community colleges and vocational technical institutions have not fully utilized the resources that are available. Our taxpayer constituents have a right to expect us to serve as a vehicle to provide educational programs and services which their tax dollars are providing. It is our responsibility to facilitate the utilization of these resources through our institutions for the provision of these services.

One of the most commonly heard remarks is "Well, how do I get the money? I don't know how to write proposals." First, a new day in proposal writing and grantsmanship is here. In the most recent past, senior institutions and private institutions and agencies employed batteries of proposal writers and grantsmen who compiled thick documents which were forwarded to the

Office of Education and other government agencies for funding. Today, that is no longer the case. Proposals do not have to be written by consultant experts. Techniques of proposal writing and tips on how to write a proposal are very important. There are definitely styles and ways to write proposals. In general, there are several specific points related to good proposal writing. If you follow this format and address yourself specifically to the guidelines stated in each of the programs and answer those questions, your opportunity for receiving funding will be greatly enhanced. It is important to keep in mind the following elements: be specific; keep the language clear, simple, and to the point; do not use educational jargon. A proposal can be written for most of the title and categorical funds in not more than 10 pages of clear, concise writing. You may and should attach the necessary informational appendices and supporting documents.

Earlier this year, I was involved in an American Association of Junior Colleges and Office of Education sponsored governmental internship. For a period of several months, I was involved in meeting with the personnel of the federal agencies and working as a legislative assistant to Senator Lawton Chiles of Florida. From these experiences, several recommendations have evolved concerning federal participation and relations with community colleges:

(1) Each community college and vocational technical institution chief executive should be acquainted with the Office of Governmental Affairs of the American Association of Junior Colleges and its director, Frank Mensel.

(2) Each chief executive must establish a personal relationship with his district congressman and U.S. Senator.

(3) Each chief executive must come to know the administrative assistant and legislative aid of his congressmen.
(4) Each president must provide a way to keep himself better informed on happenings in the Congress, especially in the area of education. (I have a list of several publications which can assist.) It would be appropriate to assign this task to a staff member who could read the various printings and summarize for your benefit.
(5) Each chief executive must establish a method of data collection for his institution.

This area of data collection and information-gathering cannot be over emphasized. It is the foundation upon which all legislation on the state and federal scene rests. Also, all proposals must be reflective of needs in part determined by data and information concerning a problem. As of July 1, 1971, each institution applying for federal assistance must provide certain demographic data for the institution. The information needed will be

(1) number of students by race
(2) number of students by income levels
(3) number of disadvantaged and low income students.

This type of data is typical of the required information. Most public institutions have this information available in some form or another. Additional examples of types of data needed are FTE; costs per FTE; costs per credit hour and clock hour; space utilization by classrooms, laboratories, seminar rooms; costs per square foot of instructional facilities; student-teacher ratio; average class size.

The lack of appropriate data is one of the major reasons that education often has problems in the legislative process on both the federal and state level. For example, in the recent Senate Sub-Committee on Education

hearings chaired by Senator Pell, the education establishment presentations were far from impressive. Senator Pell asked for specific information and received glowing generalities. Had it not been for the AAJC representative who gave some specific answers, the education associations' day in court would have been a loss. Furthermore, Senator Pell admonished the higher education representatives not to try to persuade him of the financial crisis in higher education but to give him hard data and specific answers to his questions.

Many people on the Hill are concerned about education, but they need information to persuade their colleagues of the rightful priority that education has in the funding process. It is the responsibility of the institution to provide that information. The community colleges and vocational technical institutions are going to have to become more active in the field of educational advocacy on a federal level.

Several college presidents have asked, "How do I go about doing this?" There are several suggestions:

(1) Contact your congressman. Write him a letter. Thank him for his efforts in behalf of education if he has been sensitive to this area.
(2) Invite the congressman to your campus. Perhaps a commencement address would be appropriate because it involves students, faculties, and parents--his constituency.
(3) Visit your congressman's office in Washington or his local regional office and become acquainted with his aides.
(4) Request that your board members write and visit their congressman. Arrange for them to meet him in an informal setting perhaps on campus.
(5) Visit the local Chamber of Commerce director and become involved so that you can become an important contact individual for the congressman in your community.

Perhaps the most important person in the legislative area is the administrative assistant or legislative aide of the congressman. The congressional aides are the powers behind the scene and their influence sometimes is as powerful as the men for whom they work. They are the elite among the 10,000 staff members who assist the 535 senators and representatives who make the laws. Their duties are broad, tenuous and tiring. They assist in designing legislation, handling lobbyists, talking to the press, answering the tough mail, overseeing the operations of the staff, and they work long hours. The way to affect legislation is not necessarily by writing a long letter to your senator--you should do that--but it is by getting to know his legislative assistant. The effectiveness of a congressman is 100% related to the effectiveness of his top assistant. Usually he points out the issues and the things that the congressman should be speaking out on and involved in. Quite frankly, in the committee system of Congress, the chief counsel and the executive assistant to the Committee Chairman or the aides on the committee actually design the legislation. If you want input in the legislation, that is where you make it, not necessarily to the front office man. However, you will need to get to know him and his legislative assistant.

Community colleges are going to have to look increasingly to the federal and private areas for fiscal resources because of state and local regressions in funding education. A joint effort encouraged by the separation of powers doctrine and the federal government in providing supplemental funds to the existing state funds is the trend of the future. The federal government has a large stake in higher education in this country and its fiscal involvement will increase rapidly.

There are two distinct trends that are evolving in funding education on the federal level:

(1) student financial aid
(2) institutional aid

Categorical aid is here to stay, but its funding has not been rapidly increasing in the past two years. There is a bipartisan effort to seek alternative methods of financing post secondary educational training. Educators and students are demanding increased attention to student aid and institutional aid. This demand and the President's and Congress' response to it will have significant implications within the institution. Perhaps the student financial aid administrator will become the most important person on the campus. All alternatives for financing higher education involve the number of students and low income students enrolled in the institution.

There is another movement that will affect the community college and its relationship with funding on the federal level. That movement is decentralization or regionalization. The Department of Justice is decentralizing its entire operation. HUD and HEW are moving rapidly in that direction. The Office of Education is taking positive steps to regionalize. Title IV (Student Financial Aid) is completely operated by the region. By January 1, 1972, all of the Special Services Office (Upward Bound and Talent Search) will be operating from the regional office. Dr. Charles Martin is Associate Commissioner of Education for Region IV in Atlanta. Dr. Kenneth Brunner is Director of Research for Region IV. The educational

institutions should contact these men and ascertain the services they can provide. The region office can provide free consultative services in assisting you in the development of programs and proposals. Each titled program and the various parts within the program has a program specialist at the regional level. If your proposal and program has the support and advice of the regional specialist, the opportunity for successful funding is increased.

To summarize, it is enough to say that the largest education funding bill ever passed by Congress (over 5.1 billion) was recently enacted and is available to those who will do their homework, become involved, and ask. Community colleges and vocational technical institutions have done their homework and are involved; now ask for your fair share of the federal dollar.

Another aspect of external funding is private resources. Foundations are commonly the vehicles utilized in channeling monies to both public and private institutions. One definition of a foundation is that it is a body of money with a lot of people around who want some of it. Philanthropic foundations are non-governmental, non-profit organizations with a principal fund managed by a board of trustees with an expressed purpose to aid charitable, educational, social, religious, and other activities serving the public welfare. Their monies are dispensed in grants to other non-profit institutions or to individuals associated with such institutions.

It is important to understand how foundations perceive themselves and their role in the field of education. Commonly, large foundations see

themselves as

(1) perceptive interpreters of the social scene, especially in the areas of education and health care
(2) a catalyst in decision-making for solutions to problems
(3) an idea broker, especially in the area of education

Quite often, foundations feel that their role is that of a change agent or innovator in the field of education. However, there are many who are concerned with the vehicle for delivery of education services--the institution. Some foundations will even support operating budgets, but most are project oriented. Very few foundations will support construction projects and ordinary equipment and material purchases. In essence, foundations are concerned with serving the human needs of society.

Some other characteristics of foundations are worth noting:

(1) They determine a specific purpose or interest in relationship to society.
(2) They do not necessarily have fixed budgets.
(3) They can shift their focus or purpose quickly to meet needs; flexibility is the hallmark of foundations.
(4) They do not have a constituency that is fixed or static.
(5) They generally do not have deadlines for proposals.

In general, foundations spend about seventy-five percent of their resources in areas of their specific interest and the remaining twenty-five percent of their monies on new ideas or innovations. Foundations evaluate most all projects with the criteria of the multiplier effect on a target group of the populace.

According to the Foundation Directory, there are over 18,000 active foundations with total assets of over $20 billion. It is interesting to note that there are over 1400 company foundations established by business

firms for philanthropic purposes. Almost $15 billion in assets are held by 236 of the foundations with assets over $10 million. These foundations include those most commonly known: Ford, Kellogg, Hartford, Lilly, Sloan, Pew, Longwood, Moody, and Rockefeller Brothers. Esso is a prime example of a business established organization that is interested in community colleges and vocational technical institutions.

However, it must be pointed out that the several thousands of small foundations represent an untapped resource for the community colleges. It is generally held that community colleges and vocational technical institutions receive only a minute percentage of the total monies available from foundations. Giving in the United States has doubled since 1960. Of the $18.3 billion given away by Americans in 1970, education received $3.1 billion. Compared with the 1971-72 budget for USOE (5.1 billion), these dollars represent a significant fiscal resource. Health and education givings represented over $6.1 billion in 1970. We have all heard that givings from foundations were down last year. According to US NEWS AND WORLD REPORT, June 28, 1971, foundation support increased at least 6 percent. In 1967, two year colleges, both public and private, received only $18.7 million of the 2.5 billion given to education. Most of these dollars were contributed to private two year and religious two year institutions. Two year colleges received only 1.6 million in corporate funds. Therefore, this private sector represents a resource to which attention must be given.

In the State of North Carolina, there are hundreds of small and large endowment corporations and foundations who are interested in education.

These following foundations are based in North Carolina and each have assets of over $500,000:

*Mary Reynolds Babcock Foundation
The Bryan Family Foundation
*The Burlington Industries Foundation
*The Chatham Foundation
O. Max Gardner Foundation, Incorporated
The John W. and Anna H. Hanes Foundation
The Hillsdale Fund
*James G.K. McClure Education and Development Fund
Foundation for Research on the Nature of Man
Reynolds Charitable Trust
The Schoenith Foundation
Martha Washington Strauss-Harry H. Strauss Foundation
*Winston-Salem Foundation

*Five of these foundations will consider contributions to operating budgets.

A valid question would be, "How do I proceed to compose a proposal and how do I make contact with a foundation?" Most foundations have established guidelines for submitting proposals, but the following is a good model for most any foundation proposal:

(1) Identify your need or problem and state it clearly and briefly.
(2) State your objectives and goals.
(3) Discuss how you are going to implement your solution to the problem; tell how you expect to accomplish your objectives and how you are going to evaluate the program.
(4) Describe the facilities and personnel available to accomplish the task.
(5) Submit a one or two page budget showing specific costs.

These steps are an exercise in common sense. The majority of proposal/problems can be described in five or six pages. Be clear, concise, and use straight-forward English. Do not use educational jargon or many technical terms. Your proposal will be read by a team of specialists and

intelligent laymen. The main point is to state concisely and clearly what you want to do and how you propose to do it.

There are two major avenues to consider in making contact with foundations: personal contact and letter.

(1) Identify those foundations whose purpose and interests fit your institution's program and projects.
(2) Concentrate on those foundations with a link to your institution. (This step is very important. Members of Boards of Trustees, alumni, and parents of students can be most helpful in successfully obtaining an award from a foundation.)
(3) Use a local contact if possible, especially if the foundation is related to a company in your geographic area. Obtain the assistance of the business or firm manager and involve him in making the introduction and appointment.
(4) Follow up the initial meeting if you do not receive a definite "no."
(5) If you are funded, be sure to report on how the grant was used at least annually.

Should the proposal be rejected by one foundation, please do not give up. Most persons will not try a second time--that lack of persistence is an error. Many good ideas and eventually funded proposals are rejected initially.

Most of these remarks have been related to proposals and funding on the federal and large foundation level. In the remaining minutes, I would like to discuss endowments and foundations on the local level.

Santa Fe Junior College serves Alachua and Bradford counties in north-central Florida and is located in Gainesville, Florida. Our sister institution is the University of Florida. Our enrollment is approximately 6,000 students. In 1970, the Santa Fe Junior College Endowment Corporation was chartered

and incorporated by eight individuals. The composition of the Board of Directors at that time was one farmer, two lawyers, one educator, and four businessmen (two of which were serving as members of our local college Board of Trustees). Two business meetings were held to draft by-laws and determine policy for the Endowment Corporation. In the past nine months, we have expanded its membership to 24 prominent community businessmen and leaders. Membership is bipartisan and biracial. In the initial months, only a few hundred dollars were given to the corporation. Recently, a department store made a $1000 contribution. At the last business meeting, the Board of Directors charged me with drafting public relations materials so that we could initiate a low key community information-giving type campaign.

Basically, our approach is and will continue to be low key. We are in the process of publishing two brochures: a mass distribution publication and a limited distribution publication. The mass distribution publication will be a brief fold-over brochure announcing the Endowment Corporation, its purposes, and directors. It will be distributed to local businessmen, civic groups, professional organizations, and special interest groups. This publication will cost about $100 for 2000 copies.

The limited distribution publication will be an elaborate, fine quality media presentation of approximately 18 pages. It will cost over $1000 for 500 copies. Distribution will be to local bankers, stock brokers, attorneys, certified public accountants, and insurance executives. The purpose of this publication will be to provide these local persons with an additional

alternative in counseling those in our community who have money and seek to dispose of it in a philanthropic manner.

There are several ways of giving which merit attention: unrestricted cash gifts; restricted cash gifts; gifts from income or capital; gifts by will; gifts by insurance; gifts by trust, both living and testamentary; and gifts by securities.

We have been successful in presenting our program to the community because of the nature of the activities which funds are used to promote and to support. Some of these activities include

financial assistance to students
recognition of outstanding scholarship or leadership
development of special facilities
promotion of cultural events and activities
recognition of outstanding teaching
support for the college library and media center

Therefore, based on our Santa Fe Junior College experience, I recommend consideration for establishing such a vehicle at your institution.

In essence, there are many fiscal resources in the federal and private sectors available to community colleges and vocational-technical institutions. The problem is not how these post secondary educational institutions can relate to these sources but when. With the fiscal environments of the local and state governments in a conservative appropriating mood while the demand for post secondary educational opportunities is increasing, it is apparent that these institutions must NOW give serious attention to these potential fiscal resources.